



**Department of Personnel Administration's
Human Resources Quality Review
for the
Department of Consumer Affairs
September 2010**

DCA HRQR REPORT

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Department of Personnel Administration



Human Resources Quality Review

RED STATUS TAG: **ACTION REQUIRED**

**Exceeds
20 %
Allocation Error
Rate**

Department of Consumer Affairs is directed to:

- Submit all future Management Services Technician RPA Packages to DPA for approval for a one year period commencing on the date of the signature below
- Submit Corrective Action Plans for all misallocations identified in the 1st and 2nd Phase Findings reports and for the remaining position whose allocation could not be determined, within 30 calendar days commencing from the date of the signature below or further conditions and expectations will be required

And is,

- Subject to random position reviews for a period of 1 year commencing on the date of signature below

A handwritten signature in blue ink that reads "Belinda Collins".

Belinda Collins, Chief
Classification and Compensation Division

Date 9/3/10

**Department of Consumer Affairs
Final Summary Report
2009/2010**

Purpose of Review

The Department of Personnel Administration (DPA) is responsible for administering the State's civil service classification plan. Previously, DPA delegated position allocation responsibility to line departments in order to facilitate ease of allocations, expedite decision making and increase system efficiency. The delegation was given with the expectation that line departments would maintain the integrity of the State's overall classification system and engage in sound personnel management practices.

DPA's Classification and Compensation Division (CCD) conducted a Human Resource Quality Review (HRQR) of Department of Consumer Affairs' (DCA's) position allocation function which included DCA's Administration Division and six DCA boards and offices. These reviews were intended to assure that DCA adhered to the above principles as well as the various laws, rules, policies, procedures and personnel management principles associated with position allocation. The reviews also identified ways to achieve more effective and efficient personnel management. Specifically, CCD evaluated DCA's position allocation process and the quality of individual position allocations.

Process

DPA's HRQR review consisted of two review phases separated in time by training provided to DCA's HR staff and a six-month "test period". This approach provided a way to measure improvement in DCA's position allocation error rate "before" and "after" training.

The 1st phase review began in January 2009, and included a review of 52 position allocation packages processed prior to October 1, 2008, using DCA organization charts and historical knowledge of the DCA organization and service-wide classes. These service-wide classes included SSM I, AGPA, SSA, MST, and Office Technician. The review also included department-specific classes.

A memorandum dated July 20, 2009, provided the 1st phase preliminary findings and identified 31 of the 52 position allocation packages as problematic, either because they were misallocated or DPA did not have sufficient information to make informed allocation decisions. DCA was provided an opportunity to dispute the HRQR.

DPA used the preliminary findings to develop three half-day training sessions on duty statement development, class specification interpretation, position allocation, out of class process, compensation program, and the board item process. This training was interactive by design to assure understanding and promote improved allocation decisions in the future.

The "test period" began in May and ended November 1, 2009, during which DCA HR staff independently analyzed and made decisions on 527 position allocation requests. All position transactions were recorded with the understanding that a second review by DPA staff would be conducted on these packages.

During the 2nd phase review, DPA sampled 50 of the 527 transactions processed during the "test period" of May 1, 2009 through October 31, 2009. The sample included many of the same classes used in the 1st phase review and attempted to draw from the same DCA boards and commissions that were previously reviewed. 16 of the 50 positions allocation packages were identified as problematic either because they were misallocated or because DPA did not have sufficient information to make an informed decision.

DCA was provided an opportunity to review and comment on the HRQR findings prior to its final release. On August 16, 2010, DCA's response to the findings was received and is reflected on the addendum included in this report.

DCA was provided additional training after the 2nd phase review in July 2010. This customized training focused on position allocation, duty statement development, class specification interpretation, and the corrective action process.

Findings

In general, DCA's position allocation packages reviewed consistently contained the following required information:

- Clear and detailed organizational charts which provided sufficient information about the position and delineated clear reporting relationships
- User- friendly Request for Personnel Action form for filling positions
- Well organized duty statements that provided sufficient detail to understand the positions' intended work
- Of those position allocation packages reviewed, all contained approval signatures indicating the responsible party for the allocation decision
- Quality of the position allocation documentation improved when memoranda of justifications were included which proved helpful in understanding DCA's acceptance of the allocation

DCA also experienced an increase in the rate of correct allocations from the 1st to the 2nd review phase. This was a remarkable improvement following the training that DCA received between the two reviews. The following is a summary of DPA's findings identified during the 1st and 2nd phase reviews and has been adjusted by the additional information received from DCA:

Description	1 st Phase	2 nd Phase
Total number of positions reviewed	52	50
Positions correctly allocated	17	38
Positions found to be misallocated	18	11
Unable to determine proper allocation of positions	13	1

However, despite the noteworthy reduction in allocation errors between the two phases, significant problems remain.

- Upon completion of training provided to HR staff, DCA continues to experience an unacceptable misallocation error rate of 22%. DPA considers a 10% allocation error rate as acceptable.

The added cost of the 29 misallocated positions identified in the 1st and 2nd phase reviews is approximately \$81,000 annually¹. The value is based on the (5%) average difference between the top step of the class of the misallocated position and the top step of the class to which the position is properly allocated.

- 2% of the position allocation packages reviewed during the 2nd phase review had insufficient information on which to base an informed allocation. The absence of this information is contrary to delegation requirements and inconsistent with reasonable and effective personnel management.

¹ This dollar amount is reflective of base pay only and is not inclusive of total compensation.

Section 320 of DPA's Classification and Pay Manual in part states that, "(u)nder...delegated authority, the department must maintain copies of the duty statements, organization charts, and justification memoranda in an orderly and systematic manner and keep them on file for program review".

- A significant percentage of MST misallocations were identified after training. Eight of nine MST positions reviewed were misallocated and found to be spread across the DCA organization which suggests that the rate of error is systemic in nature rather than isolated to a given part of the organization.

Recommendations for Improvements

Although DCA's HR system has commendable characteristics, the HRQR Team has identified adjustments that would improve the quality of their position allocation decisions. The following is a listing of these recommendations;

- Centralize review of the more difficult or questionable allocation decisions and have a HR supervisor make final decisions on the more problematic or difficult position allocations
- Assign a lead or more senior HR analyst to mentor less experienced staff and review their work before granting final approval
- Create analytical process documents, check lists, or other procedural tools to assist in allocation decision making process and to ensure all required documents are received
- Provide in-house training to supervisors, managers, and staff on proper completion of required documents to be included in RPA packages
- Carefully research and select the appropriate classification when receiving requests for position reclassification from management
- Complete a review of the current use of MST positions to identify any additional misallocations that may exist in the organization and take corrective action

Conclusion

In general, DPA identified three major concerns found in the HRQR review which require DCA to take the following actions:

1. Misuse of the MST class

Submit all future Management Services Technician RPA packages to DPA for approval for a one year period commencing on the date of the signature on the status tag

2. High misallocation error rate of 22%

Submit Corrective Action Plans for all misallocations identified in the 1st and 2nd Phase Findings reports and for the remaining positions whose allocation could not be determined, within 30 calendar days commencing from the date of the signature on the status tag or further conditions and expectations will be required

3. Random Review

DCA is subject to a 12 month random position review commencing on the date of the signature on the status tag

DCA's misallocation error rate of 22% is more than two times higher than the acceptable range and is considered unacceptable. The error rate will be identified with a "Red Tag" status denoting DCA's overall standing and requires DCA to be subject to a one year random audit period.

DPA will re-evaluate DCA's current red status certification to determine if a new certification is appropriate after the following occurs:

- Development of acceptable resolutions to the misallocations that have been identified in this review
- Correction to the other issues listed in this report
- Completion of a random position audit to be done by CCD during the next 12 months

Expression of Appreciation

DPA thanks Yolanda Alvarez for her cooperation and special efforts over the course of this review.

DPA also acknowledges the HRQR Team members: Sara Hull, Review Team Leader and Team Members Dan Tokunaga, Debbie Baldwin and Linda Flanagan. Their extensive HR knowledge and varied experience combined, provided a valuable mix of insights and innovations needed for this review.

This report completes DPA's Human Resources Quality Review of the Department of Consumer Affairs.

**Department of Consumer Affairs
Addendum – 2nd Phase Findings Report**

On July 16th, 2010, DPA mailed DCA their Human Resources Quality Review (HRQR) – 2nd Phase Findings Report, addressed to the department Director, Brian Stiger. The report summarized DPA's findings from the 50 position allocation review following the conclusion of their six month test period and established expectations and requirements for DCA. As one requirement, DCA was asked to submit requested documentation for the six positions identified as "Unable to Determine" (UTD) in the 2nd phase review to DPA within two weeks from the date of the 2nd phase report (July 16th, 2010). DPA requested this documentation so that the six UTD positions could be properly reviewed for correct allocation. After review, DPA adjusted DCA's overall misallocation error rate accordingly before issuing the Final Summary report and Status Tag.

On August 16th, 2010, DCA hand-delivered missing documentation in support of the allocations for only five out of the six positions requested. To date, information has not been received for the one remaining position whose allocation is unable to be determined. Of the five positions DPA reviewed, four positions were determined to be properly allocated and one was identified as misallocated. The positions reviewed are as follows:

Correctly Allocated Positions

1. Position Number: 622-342-8791-017

Current Class: Enforcement Representative I

DCA response: Provided organizational chart, duty statement and justification for DPA for review

2. Position Number: 629-170-4800-005

Current Class: Staff Services Manager I

DCA response: Provided organizational chart to DPA for review

3. Position Number: 610-770-4800-907

Current Class: Staff Services Manager I

DCA response: Provided documentation to support that there are not two SSM I employees working in the unit.

4. Position Number: 615-310-4800-XXX

Current Class: Staff Services Manager II

DCA response: Provided a replacement RPA package to DPA to refill an SSM II vacancy, along with the organizational chart and duty statement.

Misallocated Position

5. Position Number: 610-100-4802-907

Current Class: Staff Services Manager III

Analysis:

Issue #1: This position was established/filled prior to the Bureau for Private Postsecondary and Vocation Education being re-established. Why did the department fill the position permanent and fulltime? The position should have been filled limited term.

Issue #2: The required staff to support the SSM III is missing. DPA does not approve exceptional allocations to the SSM II level. What information did DCA consider as the basis to support the SSM III to work on the legislation to re-establish a previously existing bureau? DCA has fully developed legislative office that should have worked on the legislation. Was this legislative staff used to write the legislation?

Issue #3: The legislation to re-establish the Bureau for Private Postsecondary and Vocation Education has been adopted. Therefore, the structure for the new bureau requires DPA review and approval. This position would be part of the package requiring review by DPA.

Corrective Action(s) Needed: Corrective Action Plan required. As described, the position is marginally supportable at the SSM I level

Unable to Determine

6. Position Number: 610-720-5303-002

Current Class: Staff Administrative Analyst – Accounting Systems

This position now requires a corrective action plan to be submitted to DPA within 30 calendar days from the date of the signature on the Status Tag.

Using their response time, DCA lowered their overall error rate from a 32% to a 22%. The following is a summary of DPA's findings identified during the 2nd phase review, incorporating DCA's responses:

Description	2 nd Phase (After DCA's responses)
Total number of positions reviewed	50
Positions correctly allocated	38
Positions found to be misallocated	11
Unable to determine proper allocation of positions	1

DATE: July 16, 2010

TO: Brian Stiger, Director
Executive Office
Department of Consumer Affairs

FROM: **Belinda Collins, Division Chief**
Classification and Compensation Division
(916) 324-0468; FAX (916) 327-1886

SUBJECT: Human Resources Quality Review - 2nd Phase Findings Report

This memorandum reports the Department of Personnel Administration's (DPA) findings for the second phase of our Human Resources Quality Review (HRQR) of the Department of Consumer Affairs (DCA). In January 2010, DPA obtained approximately 527 position allocation packages that DCA processed during the "six-month test period" beginning May 1, 2009, through November 1, 2009, and conducted a second review of 50 (10%) of the allocation packages. The packages included many of the same classes reviewed in the 1st phase review of the DCA boards and commissions. The 2nd phase review was intended to determine if any improvement had been made in DCA's position review process and in the quality of the position allocation decisions made by DCA Human Resources (HR) staff.

Findings

Total number of positions identified for review	50	
Correctly allocated positions	34	(68% of sample)
Misallocated positions	10	(20% of sample)
Unable to determine proper allocation of positions	6	(12% of sample)

A detailed list of the positions reviewed in the 2nd phase can be found in Attachment A.

Summary of General Findings

- Although 68% of the 50 position allocation decisions were correct, DCA's current error rate is at 32% (20% misallocated and 12% unable to determine), which is more than three times the acceptable rate. DPA considers 10% or lower as acceptable, 10%-20%, as marginal, and over 20%, as unacceptable.
- Management Services Technician (MST) Allocations – 8 of the 9 (89%) MST positions included in our sample were misallocated. This error rate demonstrates the potential misuse of the MST class throughout the DCA organization.
- Justification Memoranda – 23 of the 50 (46%) positions reviewed did not include memoranda of justification (MOJs) to support the allocation decisions. Of the 23 positions without MOJs, 11 were refills of existing positions, 12 were new, reclassified, or for other reasons. Technically, all position allocations require MOJs per C&P Guide, section 320. Without knowing the reason for an allocation change a complete analysis is not possible.
- Organization Charts - 6 of the 50 (12%) position allocation packages reviewed did not include organization charts. Per the C&P Guide, section 320, organization charts with authorizing signatures are required for all position allocation packages. 26 of 44 (59%) organization charts did not include authorizing signatures.

- Duty Statements – 3 of the 50 allocation packages (6%) did not contain duty statements. Per the C&P Guide, section 320, duty statements are required for all position allocations.
- Retired Annuitants – DPA found two cases in which former State employees had returned to DCA as Retired Annuitants (RA). In these cases, the RAs returned in job classes that were higher than those they had held when serving as State employees. These hires may not be consistent with current hiring and appointment regulations overseen by the State Personnel Board (SPB). DCA needs to work with SPB to resolve any hiring issues with RA appointments.

Conclusion

Although DCA demonstrated a marked improvement since the 1st phase review (60% error rate), the current error rate of 32% (20% misallocated and 12% unable to determine) is considered unacceptable and will be displayed on DPA's Personnel Information Exchange (PIE) network. However, DCA can improve this rating before final report is posted to PIE by taking the following actions:

1. Submit the requested documentation for the 6 positions identified as "Unable to Determine" (UTD), to DPA within two weeks from the date of this memorandum. If DPA determines all 6 of these positions are properly allocated, DCA's error rate will then be reduced to 20% which is considered "marginal" status. If DPA determines that only a portion of these positions have been properly allocated, the error rate will be adjusted accordingly. If the documentation for the UTD positions is not submitted within two weeks, the positions will be considered as misallocated and will be added to in DCA's over all error rate.
2. Submit corrective action plans (CAPs) for the 10 positions identified as "Misallocated Positions" in Attachment A within 60 days from the date of this Report. Refer to Section 360 of the C&P Guide for details on the CAP process and options for correction.
3. If applicable, provide a written response to dispute any contents of this report within two weeks from the date of this memorandum. This information will be included in the DCA's HRQR Final Summary Report.

DPA will schedule a meeting with you, DCA's Chief Deputy Director, Administration Division Chief, and Personnel Officer in the next two weeks. During our meeting, we will present and discuss DCA's HRQR Final Summary Report. This report will provide an overall summary of DCA's audit and will include the following:

- Summary of the 1st and 2nd review findings
- Recommendations for improvements
- Future DCA requirements for allocation reviews
- Customized training for DCA HR staff

We look forward to meeting with you and appreciate your continued support to maintain the integrity of the State's personnel classification system.

**Human Resource Quality Review
Department of Consumer Affairs
2nd Phase Findings**

Correctly Allocated Positions

The following positions comprise the 34 positions which CCD found to be properly allocated. No corrective action is necessary for these positions.

Some of these positions are marked “Strong”. This indicates the position is particularly well described and clearly falls within the class to which it is allocated.

Other positions are marked “Marginal”. In these cases, DCA should bolster the position’s duties immediately if practical and further strengthen the position upon refill. Although the positions represent acceptable allocations, their assigned duties meet minimum levels of acceptability to the assigned class and border on becoming misallocations if further weakened. Marginal allocations should not be used for comparative purposes.

1. Position Number: 622-210-5278-001
Current Class: Management Services Technician
2. Position Number: 610-771-5393-808
Current Class: Associate Governmental Program Analyst
3. Position Number: 615-410-5393-004
Current Class: Associate Governmental Program Analyst
4. Position Number: 622-210-5393-907
Current Class: Associate Governmental Program Analyst
5. Position Number: 620-110-5393-800
Current Class: Associate Governmental Program Analyst
6. Position Number: 629-170-5393-813
Current Class: Associate Governmental Program Analyst
7. Position Number: 610-730-5393-001
Current Class: Associate Governmental Program Analyst
8. Position Number: 646-121-5393-005
Current Class: Associate Governmental Program Analyst
9. Position Number: 646-121-4800-001
Current Class: Staff Services Manager I
10. Position Number: 622-110-4800-001 MARGINAL
Current Class: Staff Services Manager I
11. Position Number: 610-770-4800-001
Current Class: Staff Services Manager I

- 12.** Position Number: 646-100-4800-007
Current Class: Staff Services Manager I
- 13.** Position Number: 632-110-4800-004
Current Class: Staff Services Manager I
- 14.** Position Number: 610-100-4800-002
Current Class: Staff Services Manager I
- 15.** Position Number: 604-100-4802-002 MARGINAL
Current Class: Staff Services Manager III
- 16.** Position Number: 646-200-6824-002
Current Class: Program Representative III (Supervisory)
- 17.** Position Number: 646-121-6824-002
Current Class: Program Representative III (Supervisory)
- 18.** Position Number: 632-110-1139-012
Current Class: Office Technician (Typing)
- 19.** Position Number: 646-121-1138-003
Current Class: Office Technician (General)
- 20.** Position Number: 622-111-1139-003 MARGINAL
Current Class: Office Technician (Typing)
- 21.** Position Number: 629-160-4687-001
Current Class: Office Technician (Typing)
- 22.** Position Number: 646-121-5157-007 STRONG
Current Class: Staff Services Analyst (General)
- 23.** Position Number: 615-410-5157-001
Current Class: Staff Services Analyst (General)
- 24.** Position Number: 629-160-5157-907
Current Class: Staff Services Analyst (General)
- 25.** Position Number: 610-100-5157-907
Current Class: Staff Services Analyst (General)
- 26.** Position Number: 632-110-5157-016 MARGINAL
Current Class: Staff Services Analyst (General)
- 27.** Position Number: 615-340-5157-016
Current Class: Staff Services Analyst (General)
- 28.** Position Number: 622-342-8796-001
Current Class: Enforcement Supervisor I
- 29.** Position Number: 646-210-7913-002
Current Class: Program Representative III (Specialist)

30. Position Number: 610-555-1854-916

Current Class: Chief Exam Proctor

31. Position Number: 646-121-6823-006

Current Class: Program Representative II (Specialist)

32. Position Number: 598-110-4870-907

Current Class: Student Assistant

33. Position Number: 610-555-1860-915

Current Class: Assistant Exam Proctor

34. Position Number: 619-110-4285-002

Current Class: General Auditor III

Misallocated Positions

DPA's review found the following 10 positions to be misallocated. DCA is required to submit corrective action plans for these positions within 60 days from the date of the 2nd Phase Finding Report. Section 360 of the C&P Guide provides details on the process and available options for correction.

1. Position Number: 622-110-1139-001

Current Class: Office Technician (Typing)

Analysis:

Issue # 1: Duty statement indicates this position is one of two Office Technician positions in the unit that handle the more complex work. Information is needed to identify specifically what the more complex work involves. In addition, the information should explain how the "more complex" work fills the position 50%+ of the time.

Action(s) Needed: Corrective Action Plan required. DCA should also submit documentation that assures that the second Office Technician position is properly allocated.

2. Position Number: 646-160-5278-001

Current Class: Management Services Technician

Analysis:

Issue # 1: Previously, this position was dedicated to 100% clerical duties. When the position was upgraded to the MST class, the unit's clerical work was no longer identified in any of the unit's duty statements.

Issue # 2: The duties described as analytical are only generally stated. More specific detail is necessary to determine whether the position is responsible for analytical tasks.

Action(s) Needed: Corrective Action Plan required. As documented, the position should be downgraded to the Office Technician or Program Technician class.

3. Position Number: 646-100-5278-xxx

Current Class: Management Services Technician

Analysis:

Issue # 1: Position is not responsible for any analytical duties. All duties assigned to the position are clerical in nature.

Action(s) Needed: Corrective Action Plan required. As described, the position is marginally supportable at the Office Technician level.

4. Position Number: 629-160-5278-907

Current Class: Management Services Technician

Analysis:

Issue # 1: The CSLB is rehiring retirees at higher levels than acceptable under civil service law.

Issue # 2: The duties of the position are technical in nature and not semi-professional tasks.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, should be allocated to the Program Technician II class.

DCA appears to be hiring Retired Annuitants at salary levels higher than the salaries the annuitants received while serving as State employees. DCA should work with SPB to resolve any hiring issues.

5. Position Number: 629-160-5278-907

Current Class: Management Services Technician

Analysis:

Issue # 1: The CSLB is rehiring retirees at higher levels than acceptable under civil service law.

Issue # 2: The duties of the position are technical in nature and not semi professional tasks.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, should be allocated to Program Technician II. DCA appears to be hiring Retired Annuitants at salary levels higher than the salaries the annuitants received while serving as State employees. DCA should work with SPB to resolve any hiring issues.

6. Position Number: 624-210-5278-004

Current Class: Management Services Technician

Analysis:

Issue # 1: The duties do not support the MST in that the duties are technical rather than semi-professional in nature.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, is allocable to the Program Technician II classification.

7. Position Number: 629-192-5278-001

Current Class: Management Services Technician

Analysis:

Issue # 1: Administrative tasks (45%) are Office Technician duties.

Issue # 2: The duty statement specifies more than one designated supervisor for the position. Issue # 3: The position works under "general direction", which is too broad a work context for a semi-professional position. The MST class calls for working under "supervision", not under "general direction".

Issue # 4: 10% of the tasks identified under "Probation Case Management/Monitoring" are clerical rather than MST duties.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, is allocable to the Office Technician class.

8. Position Number: 630-110-5278-015

Current Class: Management Services Technician

Analysis:

Most of the duties are technical and/or clerical in nature. Only about 20% of the assigned duties are quasi-analytical.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, is allocable to either Program Technician or Office Technician.

9. Position Number: 632-110-5278-012

Current Class: Management Services Technician

Analysis:

Issue # 1: The position appears to be combination of MST and OT related duties.

Issue # 2: Comparison between the previous OT and MST duty statements shows significant similarity and indicates the position has a number of OT (clerical) duties that constitute roughly 50% of the position's time.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, is allocable to the Office Technician class.

10. Position Number: 632-110-5157-907

Current Class: Staff Services Analyst

Analysis:

Issue # 1: Duties are vague and are not of an analytical nature.

Action(s) Needed: Corrective Action Plan required. This position, as currently described, should be allocated to the Office Technician class.

Unable to Determine

The following six positions could not be classified due to insufficient documentation of the position's work. DCA should follow the directions shown for each of the positions.

1. Position Number: 622-342-8791-017

Current Class: Enforcement Representative I

Analysis:

Issue #1: There is no organizational chart, duty statement or any other supporting documentation included in the position documentation package. A position allocation cannot be made at this time.

Action(s) Needed: Submit a duty statement, organizational chart, and justification for action to CCD for review and approval.

2. Position Number: 629-170-4800-005

Current Class: Staff Services Manager I

Analysis:

Issue # 1: An organization chart is not included in RPA packet.

Action(s) Needed: Submit an organizational chart showing position in the division and reporting relationships to CCD for review and approval.

3. Position Number: 610-770-4800-907

Current Class: Staff Services Manager I

Analysis:

Issue # 1: Duty statement and justification for action are not included in RPA packet.

Issue # 2: On organizational chart, there are two SSM I positions listed in the Facilities and Planning Unit.

Justification and further documentation are needed to support this structure.

Issue # 3: The other SSM I position in the Facilities and Planning Unit was also audited. More information is needed to explain how this position relates to the other SSM I position.

Action(s) Needed: Submit additional documentation as described above to CCD for review and approval. DCA should also review the second SSM I shown in the division to determine its proper allocation and report the findings to CCD.

4. Position Number: 615-310-4800-XXX

Current Class: Staff Services Manager II

Analysis:

Issue # 1: Organizational charts that were submitted in the RPA package do not reflect the position of SSM II being downgraded to SSM I. The current organizational chart is identical to the proposed chart included in the RPA package.

Issue # 2: The duty statement is confusing as to which level is being filled.

Action(s) Needed: Submit a new RPA packet including new duty statements that clearly defines the position being filled as well as organizational charts reflective of the restructuring to CCD for review and approval.

5. Position Number: 610-100-4802-907

Current Class: Staff Services Manager III

Analysis:

Issue # 1: An organizational chart and justification for action are not included in RPA packet for consideration.

Action(s) Needed: Submit an organizational chart and justification for action to CCD for review and approval.

6. Position Number: 610-720-5303-002

Current Class: Staff Administrative Analyst -Accounting Systems

Analysis:

Issue # 1: An organizational chart and justification for action are missing from RPA Packet.

Issue #2: The current classification of Staff Administrative Analyst is intended to analyze accounting systems, not supervise the operation of an accounting function.

Issue #3: There are two other Administrative Analysts in this unit. These positions should be reviewed to determine if they should be reallocated to accounting operations classes.

Action(s) Needed: Submit an organizational chart and justification to explain how and why multiple Staff Administrative Analysts are being used in this division. Explain how these positions are different from the Accounting Administrators I who work alongside these positions and why it is appropriate to structure the organization in this manner. Lastly, DCA should review the other Administrative Analysts in the division to determine their proper allocation and report the findings to DPA.

**Department of Consumer Affairs HR Quality Review
Addendum – 1st Phase Review**

On July 20th, 2009, DPA mailed DCA their Human Resources Quality Review (HRQR) – 1st Phase Findings Report, addressed to the Patricia Harris, acting Director. The report summarized DPA's findings from the 48 positions identified and reviewed on January 27th and 29th, 2009, and established expectations and requirements for DCA. As one requirement, DCA was directed to respond to the findings listed in the report by August 20, 2009.

On March 22nd, 2010, by way of a memorandum, DCA sent in their response to the 18 identified misallocations. Of the 18 positions addressed, DPA determined that none of the positions have been properly corrected consistent with Section 360 of the C & P Guide and DPA continues to recognize all 18 positions as misallocated pending proper corrective action. Therefore, no adjustment to DCA's error rate was provided.

The positions reviewed are as follows:

Misallocated Positions

1. Position Number: 629-110-5157-001
Current Class: Staff Services Analyst
2. Position Number: 646-170-6824-002
Current Class: Program Representative III (Supervisor)
3. Position Number: 646-150-7913-001
Current Class: Program Representative III (Supervisor)
4. Position Number: 632-5278-011
Current Class: Management Services Technician
5. Position Number: 629-170-5157-029
Current Class: Staff Services Analyst
6. Position Number: 622-353-9927-001
Current Class: Program Technician
7. Position Number: 622-216-5157-001
Current Class: Staff Services Analyst
8. Position Number: 622-110-5393-805
Current Class: Associate Governmental Program Analyst
9. Position Number: 620-110-1139-001
Current Class: Office Technician (Typing)
10. Position Number: 646-200-4800-002
Current Class: Staff Services Manager I
11. Position Number: 646-120-1393-001
Current Class: Data Processing Manager III
12. Position Number: 629-110-4800-XXX
Current Class: Staff Services Manager I

13. Position Number: 622-110-5393-002
Current Class: Associate Governmental Program Analyst

14. Position Number: 620-110-8549-001
Current Class: Supervising Special Investigator I

15. Position Number: 620-110-4800-008
Current Class: Staff Services Manager I

16. Position Number: 620-110-4800-006
Current Class: Staff Services Manager I

17. Position Number: 610-771-4800-907
Current Class: Staff Services Manager I

18. Position Number: 610-730-4800-001
Current Class: Staff Services Manager I

DATE: July 20 , 2009

TO: Patricia Harris
Acting Chief Deputy Director
Executive Office
Department of Consumer Affairs

FROM: **Dave Gilb**
Director
Executive Office
(916) 322-5193; FAX (916) 322-8376

SUBJECT: Human Resources Quality Review Preliminary Findings

This memorandum outlines the Department of Personnel Administration's (DPA) Human Resources Quality Review (HRQR) findings of the Department of Consumer Affairs (DCA) delegated authority for position allocation. The report involves the positions indentified and reviewed on January 27 and 29, 2009, at your department.

Our review of your delegation was intended to assess both the adequacy of the review process utilized within your department and the quality of position allocations made by the appointing authority using the delegated standards. Using organizational charts provided by DCA's Human Resources Office, staff requested 48 documents for review. Initially the team reviewed a total of 44 documents representing new, refill, or upgrade allocation decisions which were made by your Personnel Office. (The missing four packages have subsequently been identified as unavailable due to the time that has elapsed since the position was established.) In addition, if either the positions reviewed were found to be misallocated or the documentation was inadequate and did not allow for us to determine the correct allocation, further follow-up by your department is required to correct or substantiate the positions allocation.

FINDINGS

Total number of positions identified for review	48
Total number of positions reviewed	52*
Positions correctly allocated	17
Positions unable to classify due to lack of or inadequate documentation	13
Positions found to be misallocated	18

(*The HRQR team requested 48 position allocation packages from DCA and was provided 52 allocation packages.)

Correctly Allocated Positions

The Classification and Compensation Division's portion of the allocation levels reviewed revealed the following and no further action on DCA's part for these allocations is necessary:

1. Position Number: 598-110-5278-003
Current Class: Management Services Technician
2. Position Number: 632-110-5393-004
Current Class: Associate Governmental Program Analyst
3. Position Number: 646-150-5393-001
Current Class: Associate Governmental Program Analyst

4. Position Number: 646-150-5157-015

Current Class: Staff Services Analyst

5. Position Number: 646-121-9942-011

Current Class: Air Quality Engineer II

6. Position Number: 622-314-5157-001

Current Class: Staff Services Analyst

7. Position Number: 646-150-6843-001

Current Class: Program Manager II

8. Position Number: 622-353-1139-002

Current Class: Office Technician (Typing)

9. Position Number: 622-221-9929-001

Current Class: Program Technician III

10. Position Number: 622-353-8796-002

Current Class: Enforcement Supervisor I

11. Position Number: 610-730-4801-001

Current Class: Staff Services Manager II (Supervisory)

12. Position Number: 646-200-4800-001

Current Class: Staff Services Manager I

13. Position Number: 629-150-4800-002

Current Class: Staff Services Manager I

14. Position Number: 622-342-8796-001

Current class: Enforcement Supervisor I

15. Position Number: 622-271-5157-001

Current Class: Staff Services Analyst

16. Position Number: 622-217-5157-001

Current Class: Staff Services Analyst

17. Position Number: 646-150-6843-002

Current Class: Program Manager II

Misallocated Positions

If a Corrective Action Plan is required, DCA should check with Section 360 of the Classification and Pay Policies and Procedures Manual for options available for correcting misallocated positions.

1. Position Number: 646-170-6824-002

Current Class: Program Representative III (Supervisor)

Analysis:

Issue # 1: Position is clearly misallocated as it does not meet the class definition. The duty statement does not reflect that the incumbent initiates appropriate enforcement and regulatory action, manages the complaint resolution and mediation processes, conducts informal conferences, nor supervises an undercover lab to

detect incompetence and fraud pertaining to the Automotive Repair and mandatory Vehicle Inspection and Maintenance Programs.

Issue # 2: Organization Chart was not signed by department.

Action(s) Needed: Corrective Action Plan required. This is an inappropriate use of the Program Representative III (Supervisor) classification. The position is clearly misallocated. The department can either correctly allocate this position to Program Representative III (Supervisor) as shown in the State Personnel Board specification or move the current incumbent to another Program Representative III (Supervisor) position within Consumer Affairs. The incumbent must be performing the duties within the scope of the classification.

2. Position Number: 646-150-7913-001

Current Class: Program Representative III (Specialist)

Analysis:

Issue # 1: The duty statement for this position is too general in its description of duties which make it impossible to determine if the position is accurately allocated.

Issue # 2: The organization chart provided in the package was not signed by the department.

Action(s) Needed: Corrective Action Plan required. Duty Statement needs to be specific to the position in particular. Make duties appropriate to the classification or use the correct allocation within the class series.

3. Position Number: 632-110-5278-011

Current Class: Management Services Technician

Analysis:

Issue # 1: The duties listed in the current Management Services Technician (MST) duty statement do not encompass the full scope of the MST classification. The duties are more appropriate to the Office Technician (Cashiering) classification (60% of the duties are clerical).

Issue # 2: A justification was not included in the package to explain the reason for the upgrade and clarify the changes/increases in duties to warrant the reclass from Office Technician to MST.

Action(s) Needed: Corrective Action Plan required. Correct this misallocation by assigning the appropriate level and type of duties to correctly allocate this position to the Management Services Technician as shown in the State Personnel Board specification or move current incumbent to another MST position within Consumer Affairs and downgrade this position to Office Technician (Cashiering) to match the level of duties as stated in the current duty statement.

4. Position Number: 629-170-5157-029

Current Class: Staff Services Analyst

Analysis:

Issue # 1: Duty statement does not show the full scope of Staff Services Analyst (SSA) duties. Fifty percent of the tasks appear to be more technical in nature with a very small percentage (20%) of the duties reflect analytical tasks. Duties as stated in duty statement would be more appropriate for a MST.

Issue # 2: Organization Chart not signed by the department.

Action(s) Needed: Corrective Action Plan required. Correct this misallocation by assigning the appropriate level and type of duties to correctly allocate this position to SSA as shown in the State Personnel Board specification or move current incumbent to another SSA position within Consumer Affairs and downgrade this position to MST to match the level of duties as stated in the current duty statement.

5. Position Number: 629-110-5157-001

Current Class: Staff Services Analyst

Analysis:

Issue # 1: The current duty statement for the Associate Governmental Program Analyst (AGPA) and the proposed duty statement for the SSA and are exactly the same. Duties described in both duty statements do not justify the SSA nor the AGPA levels in that they do not perform the full scope of analytical duties as described in the State Personnel Board specifications. Justification is poor in that it lacks justifying the level of duties.

Issue # 2: Organization Chart not signed by the department.

Issue # 3: Position is described as the Administrative Assistant to the Executive Director in the current duty statement. There are no clerical positions reporting directly to the Executive Director. Who is performing the clerical duties?

Action(s) Needed: Corrective Action Plan required. Position is misallocated. Based on the duty statement, this position should be allocated as an Administrative Assistant or Executive Assistant classification.

6. Position Number: 622-353-9927-001

Current Class: Program Technician

Analysis:

Issue # 1: The proposed duty statement shows Program Technician in the classification title, however, states it is an Office Assistant (Typing) classification in the body of the document. Duties are clearly Office Assistant (Typing) level duties.

Action(s) Needed: Corrective Action Plan required. Correct this misallocation by assigning the appropriate level and type of duties to correctly allocate this position to Program Technician as shown in the State Personnel Board specification or move current incumbent to another Program Technician position within Consumer Affairs and downgrade this position to Office Assistant (Typing) to match the level of duties as stated in the current duty statement.

7. Position Number: 622-216-5157-001

Current Class: Staff Services Analyst

Analysis:

Issue # 1: Duties listed in the current SSA duty statement do not encompass the full scope of the SSA classification. The duties are more technical and would be more appropriately allocated to Program Technician II.

Action(s) Needed: Corrective Action Plan required. Correct this misallocation by assigning the appropriate level and type of duties to correctly allocate the position to SSA as shown in the State Personnel Board specification or move current incumbent to another SSA position within Consumer Affairs and downgrade this position to Program Technician II to match the level of duties as stated in the current duty statement.

8. Position Number: 622-110-5393-805

Current Class: Associate Governmental Program Analyst

Analysis:

Issue # 1: DCA submitted the RPA package for position # 622-110-5393-002 instead of the RPA package for position # 622-110-5393-805 that DPA requested.

Issue # 2: Unable to determine whether the AGPA position (#622-110-5393-805) is correctly allocated.

Action(s) Needed: Corrective Action Plan required. Department should furnish justification for not submitting the correct package.

9. Position Number: 620-110-1139-001

Current Class: Office Technician (Typing)

Analysis:

Issue # 1: Duties described in the position's duty statement do not support the Office Technician (OT) classification level. The duty statement does not reflect typing duties to support the typing classification.

Issue # 2: The RPA package included inappropriate information on the incumbent (i.e., designee form, I-9 form, etc.). There was no justification to explain the change in duties warranting the reclassification from OT (G) to OT (T), no old duty statement OT (G) to substantiate the change in duties, and the organization chart did not show correct placement of this position as stated in duty statement.

Issue # 3: Organization chart was not signed by the department.

Action(s) Needed: Corrective Action Plan required. Correct this misallocation by either assigning the appropriate level and type of duties to correctly allocate this position to OT (T) as shown in the State Personnel Board specification or move the current incumbent to another OT (T) position within Consumer Affairs and downgrade this position to Office Assistant (General) to match the level of duties as stated in the current duty statement.

10. Position Number: 646-200-4800-002

Current Class: Staff Services Manager I

Analysis:

Issue # 1: This position's RPA package could not be used to make an acceptable allocation determination. Internal documentation was unclear or contradictory.

Issue # 2: The duty statement shows a position code for SSM I but the class title is Program Representative I.

Issue # 3: The November 5, 2007 memo explaining the Training & Development (T&D) assignment attempts to describe the relationship across five different positions. Its explanation is very confusing and omits discussion about a number of salient questions.

Issue # 4: The RPA package contains two "proposed" organization charts which appear related, however, without further explanation it is unclear why the two charts are provided. This is particularly confusing since no "current" organizational chart is provided to show a contrast of "before" and "after" the change.

Issue # 5: Organization Chart not signed by the department.

Action(s) Needed: Corrective Action Plan required. A departmental representative familiar with this transaction should contact DPA and explain the details of this specific T&D assignment. Once DPA understands what actually took place, we can develop a clear course of action to close this review.

11. Position Number: 646-120-1393-001

Current Class: Data Processing Manager III

Analysis:

Issue # 1: This position is misallocated. Its proper allocation is to the class of Data Processing Manager (DPM) II.

This position supervises eight professional Information Technology (IT) staff. IT operations of this size are typically supervised by a DPM I or II. The department bases its DPM III allocation on a combination of mitigating factors including required adherence to various state policies, maintenance of multiple IT procurement processes and development of all IT software including the EIS Project. None of these mitigating factors is sufficient to support the DPM III allocation. All of the responsibilities fall within the range of responsibilities that would be expected of any typical IT operation.

Action(s) Needed: Corrective Action Plan required. The department should correct the allocation to the appropriate level of DPM II.

12. Position Number: 629-110-4800-xxx

Current Class: Staff Services Manager I

Analysis:

Issue # 1: The limited and at times confusing information available within the RPA package prevents accurate and reliable allocation to a state class. The duty statement does not list supervisory duties even though the position appears to be supervising, based on the organization chart. The position's justification and work description focuses on the special project work done by this position. Special project work should be allocated to a limited term rather than a permanent position (the position has a permanent time base).

Issue #2: Organization Chart not signed by the department.

Action(s) Needed: Corrective Action Plan required. The department should collect and assemble the data needed to write a new duty statement for this position. After a new duty statement is written, the department is to complete a new position allocation review, determine the position's proper allocation and document this analysis in writing. The new duty statement, allocation analysis, and current organization chart should be sent to DPA for review and concurrence.

13. Position Number: 622-110-5393-002

Current Class: Associate Governmental Program Analyst

Analysis:

Issue # 1: For the AGPA class, the amount and level of analytical work assigned is critical to an AGPA allocation. The information provided in this position's RPA package was insufficient to determine whether the position met AGPA analytical requirements.

Action(s) Needed: Corrective Action Plan required. The department should complete a position allocation analysis and report its findings to DPA. This analysis should in large part be based on the amount and difficulty of the analytical activities associated with the position's work "preparing", "coordinating", "verifying", and "determining" various tasks of the job. It should also be based on the degree of independence the position exercises to complete these presumably analytical tasks. The allocation analysis should include a review of alternate classes such as Business Service Officer II, Automotive Pool Manager and Building Manager to assess their acceptability for allocation. If the analysis concludes that these classes are inappropriate, the department's report to DPA should include an explanation. If the department's analysis concludes that the position is not properly allocated to the AGPA class, the department should submit a corrective action plan for this position.

14. Position Number: 620-110-8549-001

Current Class: Supervising Special Investigator I

Analysis:

Issue # 1: DPA's review of this position could not determine the position's proper allocation. The position's allocation to the Supervising Special Investigator I is based on the position's supervisory responsibilities. However this supervisory work could not be confirmed since the proposed organization chart shows all the assigned subordinate positions as vacant. Without sufficient Special Investigator staff to supervise, the Supervising Special Investigator I class would be inappropriate to use for this position.

Action(s) Needed: Corrective Action Plan required. The department should identify the current number of Special Investigator incumbents who report to this position and explain why this number of Special Investigator staff is sufficient to support the Supervising Special Investigator I allocation.

15. Position Number: 620-110-4800-008

Current Class: Staff Services Manager I

Analysis:

Issue # 1: RPA package for this position addresses need and acceptability of this Staff Services Manager I (SSM I) position over a small unit of analytical staff. Outwardly, this information and its departmental review would appear to be sufficient; however, in this case it is not. The organizational chart shows eight analytical staff being supervised by a total of three managers. These numbers lead to an analytic staff to supervisor ratio of less than three to one. Such a ratio is normally too low for an organization of this kind and, for this reason, approval of the current SSM I allocation should have been submitted to DPA for exceptional approval.

Issue #2: Organization Chart not signed by the department.

Issue #3: RPA package appears to have OPF attached.

Action(s) Needed: Corrective Action Plan required. The department should prepare an allocation request seeking DPA's approval for this position's allocation. The request should include the department's reasons for believing that the resulting low staffing ratio is acceptable. The department should develop guidelines describing the conditions when DPA approval is needed for supervisory positions. These guidelines should be submitted to DPA for review and adoption.

16. Position Number: 620-110-4800-006

Current Class: Staff Services Manager I

Analysis:

Issue # 1: This position's RPA package did not contain enough information for an outside party such as DPA to make an allocation decision. The duty statement and current organization chart within the package provided contradictory information regarding position number and staff size. No proposed organization chart was included and there was no justification memo to explain the allocation's rationale. Given the limited information available and the inconsistency of the information that was available, DPA could not confirm the SSM I allocation.

Action(s) Needed: Corrective Action Plan required. The department should assemble and confirm the position's work responsibilities and document them in a new duty statement. This statement should be presented to DPA along with a current organization chart and justification memo explaining the department's reasons for its SSM I allocation.

17. Position Number: 610-771-4800-907

Current Class: Staff Services Manager I

Analysis:

Issue # 1: This is a 12 month limited term position created to provide supervision over a unit whose supervisor is out on a leave of absence. DPA's concerns are three fold. DPA must obtain assurance that this position did not evolve into a permanent allocation sometime during its limited term tenure.

Issue #2: Now that the 12 month limited term duration of this position is at its end, DPA must obtain information that shows that the existing organizational structure, the position allocations, and the reporting relationships for this unit are all back to "normal".

Issue #3: DCA must develop a process in which future positions like this undergo DPA review prior to filling. That is, technically, two supervisory positions appear to have been in place at the same time to supervise the same common set of subordinate staff. This constitutes an atypical use of the SSM I class which should be reviewed by DPA.

Action(s) Needed: Corrective Action Plan required. The department should submit an informational memo telling us the status of this position's allocation and current tenure base. The department should also submit a current organization chart and clarifying memo indicating whether the organization is indeed back to "normal" or whether atypical conditions are present which need DPA review. Lastly, the department should develop internal guidelines and procedures which they would use to identify and transmit exceptional allocations to DPA for review. These guidelines and procedures should be submitted to DPA for review and adoption.

18. Position Number: 610-730-4800-001

Current Class: Staff Services Manager I

Analysis:

Issue # 1: RPA package indicates that the position was converted from Training Officer II to SSM I for recruitment purposes. Training Officer II rather than SSM I duty statement was attached to RPA package. Presumably there was no change in the position's duties even though the position's allocation had changed.

Issue #2: RPA package did not include an organization chart.

Action(s) Needed: Corrective Action Plan required. The department should develop a new duty statement for the SSM I position. This duty statement should be consistent with and allocable to the SSM I class. It should also reflect duties different from those of the previous Training Officer II position. The department should submit a current organization chart and any justification documentation needed to explain why the SSM rather than the Training Officer series is more appropriate to use for this position.

The department should write an internal memo outlining the means by which it will maintain series consistency across positions serving similar functions and the way in which it will avoid "list shopping" and use of different classes to fulfill similar function. This memo should be submitted to DPA for review and adoption.

SUMMARY OF GENERAL FINDINGS

In general, excluding those positions identified as misallocated, the department appears to be doing a marginal to adequate job of administering the classification plan. Overall, DCA should strengthen the documentation of their allocation decisions.

The department uses a very "user friendly" Request for Personnel Action (RPA) Form for filling positions. The HRQR team found the RPA to be very detailed and contain an exceptional amount of detail which included more information involving the how and why of filling a position.

Most of the RPA packages included a Justification Memo. A very small number of packages reviewed were missing the Justification Memo.

The duty statements provided were generally up to date and identified the percentage of time breakdowns. When a position involved a change from one class to a different class, a new duty statement was always included.

The most predominant issue with the RPA duty statements involved the use of analytical classes when the duties appeared to support the use of a technical classification. For example, position numbers 632-110-5278-011, 629-170-5157-029, and 622-216-5157-00 had duty statements that support the use of the technical classification due to the lack of analytical tasks identified in the duty statement. The team also questioned the use of the Staff Services Analyst and Associate Governmental Program Analyst in Licensing Units within the Boards and Bureaus of DCA.

And finally, misallocations appear to be clustered within certain areas of the department. In particular, the Board of Chiropractic Examiners and the Bureau of Automotive Repairs had a strong ratio of questionable and misallocations compared to other areas of DCA.

CONCLUSION

The Department of Personnel Administration (DPA) would like to express their thanks to all of the DCA staff for their cooperation in participating in working with the HRQR Team. Your continued cooperation in providing all requested documents along with providing space for the HRQR team to conduct allocation reviews and the Classification and Pay Training deserves mentioning.

As explained in the teams initial meeting with DCA's Chief of Administration, Kitty Williamson, and Human Resources Manager, Yolanda Alvarez, the review of personnel practices is intended to build a positive working relationship, demonstrate support to your staff, and show you that DPA is fully aware of the issues in departments and their struggles to work within the boundaries of the State's current classification plan. Please know that DPA is in support of departments and is a resource.

Once your staff has had an opportunity to digest the information provided in the evaluation of the preliminary findings contained in this memo, the HRQR team is requesting that your department provide any feedback within 30 days of receiving this report.

Currently, DCA is in the midst of the "6-Month Test Period" following the Classification and Pay Training provided by DPA staff. At the conclusion of the 6-Month Test Period on November 1, 2009, an assessment of RPA packages processed during this period will be included in the final report on DCA's Human Resources Quality Review.